

# **U.S. Coast Guard: Purpose, Characteristics, Contributions, and Worth to the Nation**

CAPT Patrick H. Roth, USN (Ret.)  
with Richard D. Kohout

19990429 021

Cleared for Public Release

**DISTRIBUTION STATEMENT A**  
Approved for Public Release  
Distribution Unlimited

## **Center for Naval Analyses**

4401 Ford Avenue • Alexandria, Virginia 22302-1498

**DTIC QUALITY INSPECTED 2**

Approved for distribution:

A handwritten signature in black ink, appearing to read "Jerome H. Kahan". The signature is fluid and cursive, with the first name "Jerome" being more prominent.

Jerome H. Kahan, Director  
Regional Issues Team  
Policy, Strategy and Forces Division

This document represents the best opinion of CNA at the time of issue.  
It does not necessarily represent the opinion of the Department of the Navy.

**CLEARED FOR PUBLIC RELEASE**

Specific authority: N00014-96-D-0001.

For copies of this document call: CNA Document Control and Distribution Section at 703-824-2943.

Copyright © 1997 The CNA Corporation

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 074-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503				
1. AGENCY USE ONLY (Leave blank)		2. REPORT DATE May 1997		3. REPORT TYPE AND DATES COVERED Final
4. TITLE AND SUBTITLE U.S. Coast Guard: Purpose, Characteristics, Contributions, and Worth to the Nation			5. FUNDING NUMBERS C - N00014-96-D-0001	
6. AUTHOR(S) PH Roth, RD Kohout				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Center for Naval Analyses 4401 Ford Avenue Alexandria, Virginia 22302-1498			8. PERFORMING ORGANIZATION REPORT NUMBER CRM 97-17	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)			10. SPONSORING / MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES				
12a. DISTRIBUTION / AVAILABILITY STATEMENT Distribution unlimited			12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 Words) The Commandant of the Coast Guard requested CNA analytical assistance in identifying the Coast Guard's enduring features and in describing its unique character as a multi-mission institution serving a diverse customer base. This task is an essential feature of a broader study attempting to develop a notional end state for the year 2020 by comparing service missions with trends affecting them. We believe that the future direction of the Coast Guard must be consistent with the service's enduring characteristics and its history and traditions. This report contains a brief history of the organization, a description of Coast Guard purpose and responsibilities, and a discussion of service identity and characteristics, organizational motivation, and national contributions. The reader should understand that this document represents an outsider's view of the Coast Guard.				
14. SUBJECT TERMS Coast Guard, history, law enforcement, military history, military organizations, safety, search and rescue			15. NUMBER OF PAGES 66	
			16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT Unclassified	20. LIMITATION OF ABSTRACT	

# Contents

<b>Introduction and summary</b> . . . . .	1
Background. . . . .	1
Methodology . . . . .	2
Findings. . . . .	2
Structure . . . . .	3
<b>Organizational history.</b> . . . .	5
Introduction . . . . .	5
History . . . . .	6
Accumulation of responsibilities and partners, and the origins of service character. . . . .	9
<b>Purpose of the Coast Guard</b> . . . . .	13
Statement of purpose . . . . .	13
Coast Guard responsibilities. . . . .	14
Maintain U.S. sovereignty and enforce U.S. law. . . .	14
Represent U.S. interests and authority . . . . .	15
Assure safety of life and property . . . . .	15
Protect the environment . . . . .	17
Defend the Republic . . . . .	17
Why these responsibilities fit together . . . . .	19
<b>Cooperative effort.</b> . . . .	23
The Coast Guard's partners . . . . .	23
Coast Guard domestic operations . . . . .	23
Coast Guard international operations. . . . .	26
How the Coast Guard performs its responsibilities. . . . .	29
The Coast Guard as exclusive or lead agency . . . . .	30
The Coast Guard as supporting partner. . . . .	31
<b>Defining characteristics</b> . . . . .	33
Self-perception . . . . .	33

Research findings (a view from outside the Coast Guard) . . . . .	34
<b>Service personality and identity.</b> . . . .	39
Background. . . . .	39
Approach . . . . .	39
Service personality . . . . .	39
Service identity . . . . .	41
How to communicate identity . . . . .	42
<b>Enduring worth to the nation</b> . . . . .	45
Implications for the future direction of the Coast Guard. . . . .	48
<b>Appendix A: Suggested further reading</b> . . . . .	51
<b>Appendix B: Definitions and terminology</b> . . . . .	55
<b>Distribution list</b> . . . . .	61

# Introduction and summary

Keeping always under steam and ever ready, in the event of extraordinary need, to render valuable service, the cutters can be made to form a coast guard whose value it is impossible at the present time to estimate.

—*Army and Navy Journal*, November 26, 1864

## Background

The Commandant of the Coast Guard requested CNA analytical assistance in identifying the Coast Guard's enduring features and in describing its unique character as a multi-missioned institution serving a diverse customer base. This task is an essential feature of a broader study attempting to develop a notional end state for the year 2020 by comparing service missions with trends affecting them.<sup>1</sup> We believe that the future direction of the Coast Guard must be consistent with the service's enduring characteristics and its history and traditions.

This report contains a brief history of the organization, a description of Coast Guard purpose and responsibilities, and a discussion of service identity and characteristics, organizational motivation, and national contributions. The reader should understand that this document represents an outsider's view of the Coast Guard.

- 
1. CNA Annotated Briefing (CAB) 96-96 represents CNA's brief to the Coast Guard Senior Advisory Group and includes our initial trend findings and several potential Coast Guard futures based upon those trends. CNA Information Memorandum (CIM) 499 (forthcoming) outlines the same trends and their implications for the Coast Guard in more detail. The study is under the direction of Thomas J. Hirschfeld.

## Methodology

In carrying out this task, we reviewed Coast Guard provided material and other official documents, applicable legal authorities, and commentary on the Coast Guard from a variety of sources including historians. We visited activities, afloat and ashore, across the United States including both Atlantic and Pacific Area headquarters, and District headquarters in Miami, St. Louis, Juneau, Honolulu, Cleveland, Seattle, and New Orleans. We also visited the Coast Guard Academy at New London and the Training Center at Cape May. To understand service motivation we requested and received contributions from a survey of individual Coast Guard personnel. Finally we reviewed both Joint and other service capstone and other doctrinal publications to compare service identities and purposes.

## Findings

The Coast Guard has a varied collection of disparate missions and responsibilities. This combination of responsibilities evolved over two centuries and reflects considerations of convenience and happenstance as much as design. Because these responsibilities vary greatly according to scope, location, and the involvement of many partners, it is important to connect them in some agreed-upon statement that collects and defines them in a way that resonates in the service and outside.

We suggest the following statement of purpose: **To maintain U.S. sovereignty and enforce U.S. law through active presence; represent U.S. interests and authority; assure safety of life and property; protect the environment; and help defend the Republic...in our ports and waterways, along the nation's coasts, on international waters, or in any maritime region as necessary.**

Service characteristics define and limit the types of missions that the Coast Guard should acquire and perform. They also differentiate the Coast Guard from the other armed services. In examining the Coast Guard's defining characteristics, we found that it:

- Is primarily a maritime service
- Has mostly civil responsibilities
- Serves the public directly

- Has a humanitarian orientation
- Is operational in nature
- Stresses cooperation and coordination
- Is oriented to results and quick response
- Is multi-missioned
- Has extremely broad legal authority
- Values initiative
- Performs domestic operations with necessarily international aspect
- Has a unique civil-military character.

The Coast Guard has two salient qualities, which underpin its primary value and enduring worth to the Republic. One is its connectivity to the civil, military, federal, state, and local entities (public, private, and international) that support Coast Guard operations, and which the Coast Guard in turn supports. The other is its ability to provide a unique instrument of national policy, as occasions require.

Together with an effective *statement of purpose*, an understanding of *enduring values* will help maintain public support and organizational motivation and effectiveness. An understanding of Coast Guard *characteristics*—especially its disposition toward coordination and cooperation, result-oriented and operational nature, and multimission ethos—will also contribute to public support and ensure that the Coast Guard evolves in ways consistent with its culture.

## Structure

We begin this paper by briefly outlining the history of the Coast Guard. This information provides the context for an examination of the current collection of responsibilities as well as service identity and characteristics. The second section describes what we believe to be a more appropriate statement of purpose than current formulations provide. The remainder of that section describes the various compo-



nents of this purpose statement. The third section outlines the complex web of organizational interaction at the federal, state, and local levels, and internationally, illustrating how Coast Guard responsibilities are exercised at each level. The fourth section highlights defining service characteristics—as perceived both by Coast Guard personnel and by our study team. The fifth section includes a comparison of the Coast Guard's service identity with the identities of the other armed services. The final section concludes with an examination of the Coast Guard's worth to the nation. Appendix A provides additional suggested reading. Appendix B covers definitions and standard terminology.

# Organizational history

## Introduction

The Coast Guard touches virtually every facet of the nation's maritime life today. This multi-mission organization has responsibilities in national defense, maritime safety, enforcement of federal maritime law and regulation, the environment, and science. It didn't start out that way. Indeed, today's Coast Guard grew from six diverse organizations:

- Revenue Cutter Service (RCS, established 1790)
- Lighthouse Service (established 1789 and continuing functions performed by the states and colonies)
- Steamboat Inspection Service (established 1838)
- Lifesaving Service (established 1848)
- Bureau of Navigation (established 1884)
- Bureau of Marine Inspection and Navigation (established 1932 as an amalgamation of the Steamboat Inspection Service and Bureau of Navigation).

The Lighthouse Service (aids to navigation), Steamboat Inspection Service (marine safety), Bureau of Navigation (navigation laws related to the merchant marine, including licensing), and the Lifesaving Service (search and rescue) were essentially unifunctional services. Only the Revenue Cutter Service evolved from a narrowly defined, single-function service (enforcement of revenue and tonnage duties) into a multi-functional organization prior to merger with another predecessor organization. The Revenue Cutter Service appears to have been assigned additional roles because of the inherent flexibility of cutters and because, aside from the Navy, it was the only federal service to operate on the seas. That flexibility is a major

reason why the Revenue Cutter Service eventually absorbed the other services and their responsibilities.

## History

Our nation's founding fathers, when establishing a national government under the Constitution, provided early on for maritime regulation and safety. In 1790, at the urging of Alexander Hamilton, the First Congress established a Revenue Cutter Service within the Treasury Department to enforce customs regulations.<sup>2</sup> This legislation authorizing the service and ten cutters was signed August 4, 1790. The Coast Guard traces its origin from this legislation and the small cutters authorized under it.

The same First Congress recognized that it had inherited responsibility for maritime safety from the states. The individual colonies had erected and operated lighthouses and other aids to navigation to aid mariners prior to our nation's independence. The first lighthouse on American territory was constructed at Boston on Little Brewster Island in 1716. As successors to the colonies, the states provided this service to mariners and commerce. In the ninth law enacted by Congress in 1789, the federal government assumed responsibility from the states for the "maintenance and repairs of all lighthouses, beacons, buoys, and public piers" and created a Lighthouse Service, an important part of Coast Guard heritage.<sup>3</sup>

Steam for maritime propulsion entered common use during the first half of the 19th century. A series of catastrophic marine disasters resulting from inadequately designed, maintained, and operated boilers led to establishment of another part of the Coast Guard heritage. In 1838 Congress established a Steamboat Inspection Service to regulate steamboat safety and license its operation.

---

2. The service was also known as the Revenue Marine Service and the Treasury Fleet.

3. The Lighthouse Service was also known as the Lighthouse Establishment.

The need to provide for the safety of lives and property at sea led to the formal establishment of the Federal Lifesaving Service ten years later. This service augmented regional volunteers. These “surfmén” and their almost fanatical dedication to duty are a defining part of the heritage of today’s Coast Guard.

In 1884, concerns for the welfare and competence of mariners led to establishment of the last predecessor maritime service—the Bureau of Navigation. This service supervised and regulated the merchant marine. Duties of the Bureau of Navigation and the Steamboat Inspection Service were combined in a Bureau of Navigation and Steamboat Inspection Service in 1932. This service was renamed the Bureau of Marine Inspection and Navigation in 1936.

Cooperation, interaction, and cross-fertilization among the Coast Guard’s predecessor services foreshadowed the later combination of responsibilities. Revenue Cutter Service officers helped establish and draw up regulations for the Lifesaving Service, and served as inspectors for it and, at times, for the Lighthouse Service. Revenue Cutters assisted in maintaining the efficiency of both these services.

The following, partial list illustrates this interdependence in earlier years.

- Prior to 1850s: Revenue Cutter Service provides tender services for the Lighthouse Service, which does not acquire tenders until the 1850s.
- 1843: Revenue Cutter Service formally examines lighthouses and aids to navigation at instigation of Capt. Alexander Fraser.
- 1848: RCS Captain Douglas Ottinger is given the task of setting up first Federal Lifesaving Service on New Jersey Coast. Ottinger invents the first lifesaving car.
- 1850s–1915: Revenue Cutter Service continues to act as inspectors for the Lifesaving Service and provides tender services to remote stations. Throughout 19th century until their merger, the RCS and Lighthouse Service are under orders to report defects in lights, aids to navigation, and suspicious vessels to both agencies.

- Post 1878: Revenue Cutter Service personnel are kept on at Lighthouse Service staff supervising inspections and construction.
- 1906: Revenue Cutter Service assists Bureau of Navigation by maintaining "one or more" cutters at St. Mary's River.
- Post 1908: Revenue Cutter Service—and after 1915, the Coast Guard—act as a field service for the Bureau of Navigation.
- 1916: Coast Guard conducts inspections for the Steamboat Inspection Service in implementation of the Seaman's Act.

The benefits of combining the nation's maritime services were periodically apparent even in the 19th century. From 1845 to 1849, the Revenue Cutter Service and Lighthouse Service were combined and the Cutter Service enforced navigation laws in addition to its revenue duties. From 1869 to 1871, the Revenue Cutter Service, Lighthouse Service, the Steamboat Inspection Service, and the Marine Hospital were organized under an interim Treasury Bureau. The Lighthouse Service was an administrative unit of the Revenue Cutter Service from 1871 to 1878. Although all these changes were administrative adjustments, made for efficiency and convenience, and were not seen as permanent, they represented a recognition of the benefits of amalgamation.

The benefits of combining maritime services had become more apparent by the 20th century. The result was consolidation of maritime responsibilities in the Revenue Cutter Service/Coast Guard, the only service among them that was already multi-functional. On January 28, 1915, the Lifesaving Service was combined with the Revenue Cutter Service and renamed the United States Coast Guard. In 1939, the Lighthouse Service was consolidated with the Coast Guard. In 1942, the Bureau of Marine Inspection and Navigation was temporarily placed in the Coast Guard, an arrangement made permanent in 1946. During the process of transferring virtually all transportation related functions into the Department of Transportation in 1967, bridge administration and other functions were transferred from the Corps of Engineers to the Coast Guard, thereby placing most of the nation's water traffic-related responsibilities under one Coast Guard.

## Accumulation of responsibilities and partners, and the origins of service character

As noted above, over the years Congress added the roles of lifesaving, management of lighthouses and other aids to navigation, regulation of the safety of vessels, licensing of crewmen, and setting of standards to the duties of the Revenue Cutter Service. It applied Coast Guard experience in ocean and coastal waters to inland lakes and rivers. Other obvious extensions of functions included management of the cleanup of waters, prevention of marine pollution, protection of fisheries and the survival of living marine resources, and helping ensure common global standards for marine safety and pollution control. Law enforcement authority broadened along with the other new responsibilities.

We will not enumerate all the legislation, executive, and secretarial orders that have changed, influenced, or modified Coast Guard responsibilities since 1790; that is beyond the scope of this paper. Illustrative samples of these are shown in table 1.

Table 1. Illustrative Coast Guard responsibilities as affected by legislation or by executive and secretarial orders

<ul style="list-style-type: none"> <li>• Search and rescue</li> </ul> <p>--1790s: Revenue Cutter Service assists vessels in distress  --Winter 1831: Secretary of the Treasury orders cutter <i>Gallatin</i> cruise  --1837: Congress authorizes RCS winter cruising  --1848: Lifesaving Service is established</p>
<ul style="list-style-type: none"> <li>• Recreational boating safety</li> </ul> <p>--1910: Federal legislation related to power vessels  --1939: Coast Guard Auxiliary authorized to assist in boating safety</p>
<ul style="list-style-type: none"> <li>• Enforcement of laws and treaties</li> </ul> <p>--1790: RCS is created to carry out customs and tonnage law enforcement  --1799–1822: Laws are passed on quarantine (1799); neutrality (1818); slave trade and piracy (1819); timber reserves (1822)  --1862–1906: Laws are passed on immigration (1862, Chinese coolie labor); fur-bearing animals (1868); opium (1887); anchorage and harbor regulations (1888); salmon fisheries (1889); regatta and marine parade regulations (1896); seal hunting (1897); sponge fisheries (1906)  --1919–64: Volstead Act (prohibition) (1919); PL 774-755 provided the broadest possible legal authority for law enforcement (1936); North Atlantic Fisheries Act, Whaling Convention, Tuna Convention, North Pacific Fisheries Act (1950s); Bartlett Act (1964)  --1972–80: Marine Protection Act (1972); Magnuson Fisheries Conservation and Management Act (1976); American Fisheries Promotion Act (1980)</p>

Table 1. Illustrative Coast Guard responsibilities as affected by legislation or by executive and secretarial orders

<ul style="list-style-type: none"> <li>• Short-range aids to navigation</li> </ul> <p>--1789: Ninth law enacted by Congress created Lighthouse establishment</p> <p>--1965: International Association of Lighthouses authorizes harmonization buoyage (international treaty)</p>
<ul style="list-style-type: none"> <li>• Radio navigation aids</li> </ul> <p>--Derived from military needs: WWI marine radiobeacon system; LORAN development during WWII; Safety of Life at Sea requirements by international treaty</p>
<ul style="list-style-type: none"> <li>• Bridge administration</li> </ul> <p>--1967: Transferred from Corps of Engineers</p>
<ul style="list-style-type: none"> <li>• Commercial vessel safety</li> </ul> <p>--1838-52: Steamboat inspection (1838); Congress requires licensing of pilots/engineers (1852)</p> <p>--Post Civil War: Extended licensing to Masters/mates; Motorboat Act (1910); issuance of seaman's identification and documentation (1913)</p> <p>--1914-1970s: Numerous international treaties</p>
<ul style="list-style-type: none"> <li>• Port and environment safety</li> </ul> <p>--1915: RCS is authorized to enforce rules on the safety of public works and anchorages by administrative action</p> <p>--1917-72: Espionage Act (begins Captain of the Port program) (1917); Magnuson Act (1972)</p>
<ul style="list-style-type: none"> <li>• Marine environment protection</li> </ul> <p>--1899-1972: Rivers and Harbors Act authorized RCS to revoke licenses (1899); Oil Pollution Act(1924)</p> <p>--Marine Pollution (MARPOL) and Safety of Life at Sea (SOLAS) treaties; Port and Tanker Safety Act (1978); Oil Pollution Act (1990)</p>
<ul style="list-style-type: none"> <li>• Waterways management</li> </ul> <p>--1896-1972: St. Mary's River vessel traffic scheme (1896); USCG takes over the Mississippi River from the Corps of Engineers (1979); Port and Waterways Safety Act (1972)</p>
<ul style="list-style-type: none"> <li>• Ice operations</li> </ul> <p>--Ice operations date from purchase of Alaska and assignment of cutter <i>Lincoln</i> in 1867; Bering Sea patrol led to construction of "ice-going" cutters; attendant law enforcement, federal presence, and Search and Rescue (SAR) missions in the North Pacific</p> <p>--Wind-class cutters are assigned to Greenland duties during WWII; USCG takes over Navy's ice breakers (1965); domestic icebreaking begins with Presidential memo "suggesting services in Hudson River and New England" (1930)</p> <p>--1936: Ice operations made subject to Executive Order (Lighthouse service buoy tenders had done ice-breaking prior to transfer)</p>
<ul style="list-style-type: none"> <li>• Marine science</li> </ul> <p>--RCS began collecting data during the 19th century</p>
<ul style="list-style-type: none"> <li>• Defense</li> </ul> <p>-- 1797: Legislative act authorizes the President to use cutters to defend the seacoast and repel any hostility toward vessels and commerce</p> <p>-- 1799: Legislative act authorizes the President to transfer cutters to the Navy for use in defense</p> <p>--1915: Legislative act creates the Coast Guard and provides that it "shall constitute a part of the military forces of the United States"</p>

The point of these changes is that the activities combined in today's Coast Guard are the result of history and of habit. Functions were added to the Coast Guard because they fit there best at the time, or because there was no efficient way to perform them independently. With each added task came a body of law and regulation, and new relationships with other federal, state, and local authorities, and with private organizations, foreign governments, and international institutions. The relationship with other authorities came about because the Coast Guard always was an operationally oriented service, and developed a habit of reaching out for partners to get the job done faster, better, and more cheaply. As a consequence, it has primary responsibility for some functions, and coordinating, participating, or supporting roles for others. The nature of its responsibilities is such that almost no function belongs entirely and exclusively to the Coast Guard. Nonetheless, the Coast Guard accumulated roles because it is the most efficient at carrying them out.



# Purpose of the Coast Guard

## Statement of purpose

The Coast Guard evolved differently from the other armed services. Unlike them, it is concerned primarily with providing services directly to and in conjunction with the civil sector. Nevertheless, title 14 United States Code, which enumerates a number of “primary duties” of the Coast Guard, defines it as a military service and a branch of the armed forces at all times.<sup>4</sup>

The primary duties listed in U.S. Code, however, fail to adequately capture the broad and enduring purpose of the Coast Guard. For example, environmental protection is not captured except in the narrow sense of enforcement of all applicable federal laws. A more accurate and comprehensive approach is to begin with a statement of purpose that outlines the Coast Guard's primary responsibilities as established and influenced by law, organizational character, history, and tradition. Such a statement of purpose must capture:

- What the service is expected to perform and why
- Essential conditions necessary to carry out the various elements of the service's purpose.

The Coast Guard's 1996 mission statement is the closest to a formulation of purpose that we have discovered. It states that the USCG is

a multi-missioned maritime service and one of the nation's five Armed Forces. Our mission is to protect the public, the environment, and U.S. economic interests—in our ports and waterways, along our nation's coasts, on international

---

4. See 14 USC 1 and 14 USC 2. Although the Coast Guard is a military service and branch of the armed forces at all times, it operates as a specialized service in the Navy only in times of declared war or when the President directs.

waters, or in any maritime region as required in support of national security.<sup>5</sup>

We believe that a more complete statement of purpose is as follows:

**To maintain U.S. sovereignty and enforce U.S. law through active presence; represent U.S. interests and authority; assure safety of life and property; protect the environment; and help defend the Republic...**

**in our ports and waterways, along the nation's coasts, on international waters, or in any maritime region as necessary.**

Unlike the 1996 mission statement, this statement incorporates all of the Coast Guard's legally defined responsibilities. It also includes important conditions necessary for performance. For instance, "active presence" is an essential and longstanding element in the maintenance of U.S. sovereignty and enforcement of laws.<sup>6</sup>

We will now discuss the elements of this proposed purpose statement.

## **Coast Guard responsibilities**

### **Maintain U.S. sovereignty and enforce U.S. law**

The Coast Guard enforces all applicable federal laws on, under, and over the high seas and waters subject to the jurisdiction of the United States. Today, the Coast Guard's primary law enforcement concerns are interdiction of illegal drugs and migrants, and enforcement of fisheries and marine resource law and regulations.

Critical to Coast Guard law enforcement responsibilities is the broad authority the service possesses. Public Law 74-775 (codified in 14 USC 89) authorizes the Coast Guard to board any vessel subject to U.S. jurisdiction in order to make inquiries, inspections, seizures, and

---

5. Text provided by Commandant (G-CX); it is a modification of an approved statement of March 20, 1996.

6. Active presence was a point made by Alexander Hamilton in *The Federalist* no. 12.

arrests according to applicable federal law. The Coast Guard approaches this delegation cautiously, but it remains an important part of the exercise of sovereignty. Broad authority, whether used or not, also helps encourage cooperation by other entities. Active presence is, in many cases, a necessary condition for enforcing law and maintaining sovereignty and often deters violations.

## **Represent U.S. interests and authority**

In addition to serving as an instrument of national sovereignty on the waters subject to U.S. jurisdiction, the Coast Guard is an instrument of national policy. The United States is signatory to over 120 international maritime agreements. The Coast Guard provides technical advice and support for the negotiation of these agreements. It also provides representatives and advisors to U.S. delegations dealing with maritime affairs, such as the UN-sponsored International Maritime Organization (IMO) in London and supports diplomatic missions abroad by assigning Coast Guard attaches to several U.S. embassies.

In some sensitive situations, the Coast Guard's unique skills and qualifications make it the most appropriate instrument to represent U.S. interests and authority. For example, the humanitarian and less threatening nature of the Coast Guard make it a valuable asset in domestic or international situations where Department of Defense (DoD) assets might appear unnecessarily threatening or be politically unacceptable.<sup>7</sup> The Coast Guard also supports national policy by providing training and assistance to foreign civil authorities, navies, and coast guards.

## **Assure safety of life and property**

This broad responsibility relates to the protection of citizens and the protection and promotion of the nation's commerce through marine safety and regulation of waterborne traffic.

Perhaps the most important and widely known Coast Guard responsibility is search and rescue. The Coast Guard maintains a widely dis-

---

7. For examples, see page 47.

tributed system of aircraft, vessels, boats, and stations to assist mariners and those in peril. By international agreement, this responsibility extends over vast areas of the Atlantic, Pacific, and Arctic oceans, the Caribbean Sea, and the Great Lakes. The Coast Guard may take whatever action is necessary to rescue and aid persons and protect and save property. The Coast Guard also operates the Automated Mutual Vessel Assistance Rescue System (AMVER), which can help divert local shipping to assist mariners in peril. Furthermore, the Coast Guard plays an important role in the Federal Response Plan when lives and property are threatened on a larger scale due to natural or man-made disasters.

The Coast Guard is heavily involved in establishing and enforcing regulations concerning the safety of vessel and port operations and the storage of hazardous materials. The Coast Guard inspects U.S. flag ships and foreign flag ships using U.S. ports and waterways. It exercises additional oversight over the U.S. maritime industry by examining the competency of U.S. mariners and issuing licenses and documentation. In this respect, the Coast Guard has entered into partnerships with maritime industries to promote safety.

The Coast Guard manages the nation's waterways by providing a system of short-range and precision aids to navigation (fixed lights, day markers, buoys), operating vessel traffic systems, and ensuring access to navigable waterways. (OMEGA and LORAN systems are being phased out. In their place, the Coast Guard is supporting maritime applications of GPS, and is heavily involved in the development and operation of differential GPS (dGPS).) As part of this responsibility, the Coast Guard maintains the capability to conduct domestic icebreaking as well as polar icebreaking (pursuant to international agreement). The Coast Guard also collects, disseminates, and enforces information related to the safety of navigation including both inland and international Rules of the Road. It also enforces regulations concerning bridge-to-bridge communications. The Coast Guard Auxiliary plays an important role by promoting recreational boating safety and compliance with boating rules and regulations and assisting with search and rescue.

## **Protect the environment**

Regulations concerning the design and operation of ports and vessels help prevent environmental damage. The Coast Guard also provides surveillance and other enforcement activities to prevent unlawful transportation and dumping of hazardous substances in the waterways, in coastal regions, and on the high seas.

The Coast Guard operates the National Response Center to provide a centralized reporting point for spills of oil and hazardous substances in U.S. waters and to coordinate a response. As outlined in the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), the Coast Guard is the on-scene coordinator for environmental disasters in most maritime regions. It monitors and coordinates commercial and other agency assets and, if necessary, applies its own assets to ensure that spills are adequately cleaned up. To respond to major environmental disasters, the Coast Guard has established a National Strike Force (NSF), consisting of highly trained personnel prepositioned on the Atlantic, Pacific, and Gulf coasts.

## **Defend the Republic**

U.S. Code stipulates that the Coast Guard be prepared to function as a "specialized service" in the Navy during times of war or when the President so directs. During World War I and II, this worked well; the Coast Guard made substantial contributions to the war effort across many warfare areas.<sup>8</sup> The term "specialized service" requires some rethinking because of the growing inability of Coast Guard vessels and aircraft to operate in modern high threat environments.

### **What does a "specialized service" in the Navy amount to now?**

The Coast Guard can make meaningful contributions to national defense, but today its capabilities for operating in a high threat environment are declining, as the Navy's continue to grow. During peacetime, the Coast Guard can interact, train, and build stronger relations

---

8. The Coast Guard did not function as a specialized service under the Navy during Vietnam. Nevertheless, Coast Guard cutters and other assets made considerable contributions there.

with foreign navies and maritime forces, thereby contributing to regional Unified Commander-in-Chief engagement initiatives. Improved local relations generated by such interaction can also support Coast Guard objectives (i.e., counternarcotics or SAR agreements).

During operations other than war (OOTW) or regional conflicts, the Coast Guard can provide support to other services by coordinating environmental defense operations, establishing and servicing maritime aids to navigation, or providing icebreaking services, among other tasks. It can also supplement naval forces by performing missions that USN combatants cannot perform as efficiently as Coast Guard assets. Examples include maritime interception operations, port security operations, and certain aspects of SAR. This allows naval forces to concentrate on other, more demanding missions. Finally, in some circumstances, Coast Guard assets might be able to perform other missions such as coastal and inshore warfare, anti-surface warfare, or naval gunfire support when sufficient USN combatants are not available.

The important things to remember about the Coast Guard's status as a specialized service are that:

- Coast Guard defense contributions are meaningful but are usually not essential to the success of military operations
- The Coast Guard's domestic responsibilities continue during times of military emergencies
- Defense contributions primarily reflect the service's specific capabilities and expertise at the time they are required.

The Coast Guard's capabilities and the state of training of its personnel largely determine what it does as a specialized service. Therefore, if the Coast Guard desires a defined role as a specialized service, it needs to plan for what that should be.

#### **Should the Coast Guard be an armed service?**

The question of military relevance raises the issue of whether the Coast Guard should be an armed service or simply a uniformed service.<sup>9</sup> The Coast Guard's primary responsibilities are overwhelmingly domestic. Only about 4 percent of its operating (OE) budget is

identified as supporting direct defense responsibilities.<sup>10</sup> More important, the Coast Guard is humanitarian in outlook and tied operationally to civil agencies at the federal, state, and local level.

Normally adduced reasons for remaining an armed service include the fact that the existing defense relationship is not practical without applying the Uniformed Code of Military Justice to Coast Guard personnel. It is true, however, that civilian mariners operate combat logistic force ships. Some claim that the discipline inherent in military rank is essential for the performance of the service's more stressful responsibilities. Yet, disciplined but uniformed organizations such as the Secret Service, FBI, ATF, police, and firefighters successfully perform difficult and often dangerous tasks.

Beyond the arguments presented above, the combination of the Coast Guard's humanitarian character and reputation with its status as an armed service gives the Executive a unique and flexible national policy instrument (see page 46).

## **Why these responsibilities fit together**

Why should these seemingly unrelated responsibilities, many of them combined by convenience, and sometimes happenstance, exist in a single organization? Other federal, state, local, or private entities now perform many of the same or similar functions, or could, at least in theory, be suitably adapted to perform responsibilities now exercised by the service.

---

9. A basic distinction between armed and uniformed services is the application of the Uniformed Code of Military Justice (UCMJ) to all armed forces personnel.

10. According to the USCG Office of Budget Formulation Division "Budget in Brief," 3.95 percent of the FY 97 proposed operating budget is for defense readiness. Operating expenses are 68 percent of the total budget. Defense readiness percentages have remained relatively stable over the past decade.

Continued aggregation of these functions in the Coast Guard can be justified by four arguments:

- All existing roles are needed public services, and therefore must be performed.
- There is a requirement for central (federal) direction.
- Change would be difficult and its benefits uncertain.
- The Coast Guard's multi-mission quality produces synergy of effort.

The last point is less self-evident than the others and deserves some explanation. One advantage that the nation gains by placing these responsibilities under the Coast Guard derives from its being a disciplined and ready armed service with experience in rapid and effective response to widely different contingencies. Disciplined crews—conditioned to respond immediately, in any weather, without consideration of comfort, convenience, or personal regard—tend to be more reliable than other public employees. The attitudes and habits that make disciplined emergency response possible are applicable to all Coast Guard missions.<sup>11</sup>

Stated otherwise, the Coast Guard can take on a variety of responsibilities because:

- Coast Guard personnel are exhaustively familiar with the missions applicable to the service's purpose. They train and practice them continuously.

---

11. One could argue that others have the same or similar qualities. The Navy, for example, embodies many of the same qualities of the Coast Guard, and performs many of the same missions. The Navy has the personnel, equipment, and experience for search and rescue and (with training and experience) fisheries protection. However, the Coast Guard's important advantage in performing its ascribed missions flows from its service culture. In the Navy, the central function is destruction of the enemy; the Coast Guard's is serving the public, directly. Thus the Coast Guard allocates its best people and equipment to a civil-oriented mission set, including SAR or fisheries enforcement. The Navy has other priorities.



- It is a small service with many tasks. Coast Guard crews and equipment are able to perform several missions, at any moment, often more than one concurrently.
- The combination of multi-mission trained crews and multi-mission suitable equipment is a force multiplier, whose combined efficiencies and savings are self-evident, although difficult to measure precisely.
- The Coast Guard's vast web of cooperative experience and arrangements with other federal agencies, state and local officials and organizations, foreign authorities, and private institutions is another force multiplier, although difficult to measure and harder to duplicate. A cooperative ethos is deeply ingrained in the service. That ethos and its resultant web of relationships assure that someone does the job effectively, efficiently, and promptly.
- Finally, the Coast Guard's unique civil-military character provides mutually reinforcing advantages across its civil and military responsibilities.

# **Cooperative effort**

## **The Coast Guard's partners**

The Coast Guard carries out most all of its responsibilities in cooperation with others. Sometimes this cooperation is mandated; more often it is necessary, to carry out responsibilities better. Cooperation is ingrained in Coast Guard practice. Even in regulatory functions, persuasion through cooperation is the Coast Guard's preferred method for getting things done.

The list of agencies and organizations with whom the Coast Guard cooperates is long. It includes other federal agencies, state and local authorities, the other armed services, private organizations, and individual citizens. It also includes foreign governments and international governmental and non-governmental organizations. Because of the ad hoc nature of many of the Coast Guard's cooperative efforts, no complete list exists. Major cooperative efforts and partnerships are summarized below.

### **Coast Guard domestic operations**

#### **Federal level**

The Coast Guard interacts and cooperates with all agencies that have marine interests. In law enforcement, it provides services for, and cooperates closely with the Immigration and Naturalization Service, Drug Enforcement Agency, Justice Department prosecutors, Customs Service, and National Marine Fisheries Service. As examples, it shares lead agency status with the Customs Service for air interdiction of maritime drug trafficking, and by law, all Coast Guard officers and petty officers are officers of the Customs. While the National Marine Fisheries Service regulates fisheries in U.S. jurisdictional waters through regional fisheries councils, the Coast Guard enforces these regulations at sea. It also cooperates closely with the State Depart-

ment to obtain flag state permission when needed to take law enforcement actions outside of U.S. territorial seas.

In the marine safety area the Coast Guard has close relationships with agencies of the Department of Commerce; the Department of Energy; the Department of Defense; its parent organization, the Department of Transportation; the Environmental Protection Agency; the National Transportation Safety Board; and the National Science Foundation. Examples include working with the Federal Highway Administration and Federal Railroad Administration for the safety of navigable waters under the nation's bridges. As another example, the Transportation Department's Office of Hazardous Material Safety writes regulations for the transportation of hazardous materials; the Coast Guard enforces these regulations with respect to containerized or packaged materials in the marine mode.

The Coast Guard's command center is the central point of contact for receiving and disseminating information on all non-aviation transportation emergencies. Its National Response Center coordinates all federal responses to hazardous material release notifications. It participates with National Oceanographic and Atmospheric Administration agencies and others in the collection and dissemination of marine safety information. The service works closely with the Army's Corps of Engineers and the Defense Mapping Agency in assuring safety of waterborne traffic. It is the nation's sole provider of polar ice-breaking services to agencies such as the National Science Foundation and Department of Defense.

The Coast Guard advises the Executive Office of the President on maritime matters. It responds to the National Security Council when unique Coast Guard capabilities are required for special situations. It also participates in numerous interagency groups. For example, the Coast Guard is a member of the Interagency Council on Waterways Management, which consists of representatives of the Coast Guard, Maritime Administration, Defense Mapping Agency, Minerals Management Service, Corps of Engineers, Environmental Protection Agency, National Oceanographic and Atmospheric Administration, and the Department of Transportation's (DoT) Research and Special Programs Administration.

### **State and local levels**

The Coast Guard cooperates closely with state and local authorities throughout the United States and its territories. It cooperates with state regulatory and law enforcement authorities in marine safety and environmental protection activities. It also cooperates in search and rescue with state and local law enforcement and emergency response organizations in the face of domestic emergencies such as floods or hurricanes. Marine Safety Offices work closely with state and local port authorities to ensure the safety and efficiency of operations.

### **Maritime industry, private organizations, and citizens groups**

The Coast Guard works closely with and serves the maritime industry; classification, standards, and safety-oriented societies and organizations; manufacturers; and citizens organizations interested in maritime affairs. For example, it works with industry consensus groups such as the National Fire Protection Association, Cruise Line Industry Association, pilot associations, and the Chlorine Institute in developing regulatory directives. The Coast Guard formed the first-ever government-industry Quality Action Team with the American Waterways Operators to study the root causes of deckhand fatalities in the towing industry and to effect corrective action. A second partnership has been formed, with the Passenger Vessel Association.

### **Case study of domestic Coast Guard interaction (MSO Savannah)**

This web of domestic service and cooperative activity is illustrated by the activities of a single moderate-sized Maritime Safety Office (MSO) in Savannah, GA. These activities represent only a portion of Coast Guard activity in Savannah, which also is the location of an Air Station, a small boat station, and a homeported 110-foot cutter.

Like all Coast Guard activities, MSO Savannah maintains regular contact and interaction with numerous federal, state, and local organizations as part of its efforts to serve the community and promote maritime safety. These organizations in many ways are a public-private partnership in maritime affairs. MSO regularly works with the Georgia Department of Natural Resources/Environmental Protection Department, Chatham County Emergency Managers Association, Customs Service, NOAA, Army Corps of Engineers, Fish and Wildlife

Service, Savannah River Pilots Commission, Georgia Port Authority, the mayor's office, state and U.S. congressional offices, the Savannah Chamber of Commerce, and the Savannah Quality Council.

MSO instituted or participates in many committees and organizations to ensure that it understands the needs and concerns of the maritime community: the Area Committee, the Port Readiness Committee, Local Emergency Planning Councils, the Savannah Maritime Association, the River Pilots Association, the Savannah Mutual Aid Resource Team (SMART, established to maintain a database for emergency response), the Manufactures Council, the Military Affairs Council, the Waterways Management Council, the Propeller Club, the Navy League, and the Rotary Club.

## **Coast Guard international operations**

Mariners worldwide benefit from Coast Guard activities. The Coast Guard's radio aids to navigation program is worldwide in scope. (Again, OMEGA and LORAN systems are being replaced by GPS and dGPS.) Since 1913, the service has participated in the International Ice Patrol, which benefits all shipping in the northern Atlantic Ocean. Search and rescue responsibilities benefit mariners in a large part of the Pacific, Arctic, and Atlantic oceans, and the Caribbean Sea.

The Coast Guard participates in, and provides leadership to, international bodies, such as the International Maritime Organization and International Lifeboat Federation, and works with many individual nations in varied ways. The Coast Guard has helped negotiate, and its operations help enforce, over 120 international agreements.

### **Foreign governments**

The Coast Guard exchanges information with foreign governments and suggests measures of international cooperation to the Secretary of State on safety of life and property at sea and other subjects. It provides technical assistance and training to coast guards and other maritime organizations in many countries. Students from over 130 countries have attended Coast Guard schools, and about 75 countries have hosted Coast Guard training. The Coast Guard has helped estab-

lish coast guards in various countries and has developed a model maritime code adopted by several countries. It also conducts real-world operations and operational training with foreign countries. Those operations tend to support U.S. law enforcement missions such as counternarcotics and the protection of fisheries and other living marine resources.

The Coast Guard's natural tendency to cooperate and coordinate make it a valuable instrument in dealing with foreign governments. As examples, Coast Guard personnel have negotiated and implemented numerous practical arrangements for orderly and efficient conduct of day-to-day operations with Canadian officials (from the local to the national level) on ice breaking and search and rescue in the Great Lakes. These practical arrangements have been effective in working around differences over territorial waters. By agreement with other countries, the Coast Guard also enforces fisheries agreements for the protection of depleted stocks in the Bering Sea. In the Caribbean, the service has overcome local sovereignty issues by arranging for overflight, host nation participation in law enforcement operations, and other forms of mutual support. Finally, the Cubans' trust in U.S. Coast Guard operations in and around their territorial waters is based largely on previous direct experience and has been made acceptable by the Coast Guard's humanitarian image.

#### **International organizations**

The Coast Guard cooperates closely with international organizations, both official and unofficial. The Coast Guard serves as U.S. representatives and/or advisors in meetings of international organizations related to maritime matters: the International Maritime Organization, International Labor Organization, International Lifeboat Federation, International Civil Aviation Organization, and International Telecommunications Union. The Coast Guard leads the U.S. delegations to the UN International Maritime Organization, the Maritime Safety Committee, the Maritime Environmental Committee, the Legal Committee, and technical subcommittees. It also works closely with the International Labor Organization in matters related to the condition of employment of mariners and with other international organizations in areas of maritime interest. The Coast Guard also cooperates closely with the UN High Commissioner for Refugees and

the non-governmental International Organization for Migration in connection with alien migrant operations, and participates in the Heads of International Law Enforcement Agencies organization.

#### **Case Study of international Coast Guard cooperation (Coast Guard District 17)**

Coast Guard District 17, headquartered in Juneau, Alaska, with responsibilities in Alaska, the Bering Sea, and the Arctic and North Pacific oceans, provides a study of cooperation and the inter-relationship between domestic and international operations. The U.S. domestic fisheries industry is highly dependent on the health of both "straddling" fisheries stocks (i.e., stocks which exist both in the U.S. Exclusive Economic Zone (EEZ) and adjoining international waters), "transboundry" stocks (i.e., fish which exist in adjacent EEZs), and migratory fish. The Coast Guard participated in the development of international agreements related to protection of these stocks.<sup>12</sup> District 17 is the primary agency for enforcement related to fisheries conservation and management in the Pacific far north.

Because of their geographical area of interest, it makes practical sense for District 17 to engage the Russian Federal Border Guard Service (FBS, Russia's counterpart to the Coast Guard) in common efforts in fisheries management, conservation, and enforcement, as well as other activities. Informal contacts have been maintained for over a decade, including a TELEX communications link. Today, this commercial link has been expanded to a watch center linked via the internet between Juneau and Petropavlovsk. The Coast Guard and Border Guard have conducted joint patrols in international waters to protect "straddling" stocks. Law enforcement and other information is freely exchanged on a continuing basis. Practical results include Border

---

12. Agreements include: the North Pacific Anadromous Species Convention; the Convention on the Conservation of Pollack Resources in the Central Bering Sea (The 'Doughnut Hole Treaty'); U.S.-Canada Pacific Salmon and Pacific Albacore Tuna Treaties; U.S.-Russia Maritime Boundary Agreement; the International Pacific Halibut Convention; UN Resolution 56-215 regarding driftnet fishing; and Magnuson Act Governing International Fisheries Agreements (GIFAs) with the Republic of Korea, People's Republic of China, Russia, and other countries.

Guard SAR prosecution in areas where the Coast Guard does not have cutters or aircraft immediately available. The Border Guard has allowed Coast Guard aircraft to fly in the Russian EEZ in support of rescue efforts when necessary. These cooperative, local arrangements are made by telephone call or the internet by watch standers. In addition to the FBS, Coast Guard cooperative arrangements in support of "domestic" responsibilities include extensive contacts with the Governor of Kamchatka (on environmental pollution matters), the Russian Fisheries Ministry, and the Russian Navy.

## **How the Coast Guard performs its responsibilities**

In most cases, the Coast Guard works with a wide range of organizations to accomplish its responsibilities. When other organizations have the resources and competencies, the Coast Guard does not take action except to ensure that the missions are accomplished effectively. As an example, search and rescue cases are often handled by local governmental agencies, private companies, or good samaritans. However, the Coast Guard monitors these cases and is ready to respond if no one else is available or if the situation merits (e.g., if conditions are dangerous).

In many respects, the Coast Guard provides the same type of integration for the maritime community that the internet provides the electronic world. Like the internet, the maritime community is not centrally managed or controlled. Usually, the Coast Guard coordinates efforts so that the right organizations are involved and aligned toward a common goal. However, during special situations, the Coast Guard provides services itself, just as users of the internet can employ special-purpose search engines or proprietary services. In this way, the Coast Guard is both a link to the wide array of maritime organizations and a provider of services.



## **The Coast Guard as exclusive or lead agency**

Review of statutory authority and task performance reveals that the Coast Guard has exclusive responsibility for performance of tasks in only a few areas. The Coast Guard is:

- Responsible for superintendence of the U.S. Merchant Marine and is the only agency to regulate crewing and maintain merchant seamen's records
- The only agency involved with offshore structure safety compliance
- The only agency authorized to issue federal documentation to vessels
- The only agency involved with flag-state foreign vessel compliance inspection
- The sole agency charged with polar ice breaking.

Even in these areas the Coast Guard may, and does, consult with advisory and other agencies in carrying out responsibilities and setting standards.

More typically, the Coast Guard has primary responsibility for accomplishment of responsibilities and must cooperate and/or coordinate with numerous agencies. The Coast Guard is the lead agency in the following areas:

- Search and rescue on the high seas and navigable waterways
- Maritime law enforcement, including maritime drug enforcement
- Port safety and security
- Regulation of deepwater ports, offshore terminals, deep seabed mining, and ocean thermal energy conversion projects
- Control and designation of anchorages
- Navigational safety, including short-range aids to navigation and the design and operation of most vessel traffic services

- Regulation of marine technical and hazardous materials
- Examination and licensing of U.S. merchant mariners and their certification
- Vessel safety inspection, including inspection of foreign vessels to insure conformance to international law
- Investigation of marine casualties
- Setting boating equipment safety standards and promotion of boating safety through the Coast Guard Auxiliary
- Oil and most other pollution prevention and response in the coastal zone to 200 miles off shore
- Regulation of bridges over navigable waterways
- Development of safety regulations for U.S. flag vessels
- Regulating voice radio communications for vessels and radio aids to navigation
- Dissemination of marine safety information
- Promulgation and enforcement of navigational rules of the road
- Domestic ice breaking and U.S. participation in the International Ice Patrol.

### **The Coast Guard as supporting partner**

The Coast Guard shares responsibility with or provides oversight to other agencies in many diverse areas. For example, the National Marine Fisheries Service regulates fisheries and living marine resources within the exclusive economic zone. The Coast Guard enforces these regulations at sea in cooperation with the National Marine Fisheries Service. The Office of Hazardous Material Safety is the lead agency for establishing regulations concerning transportation of dangerous cargoes. The Coast Guard enforces these regulations in the area of containerized or packaged cargoes in the marine mode. It works with other agencies in areas where they have responsibilities for hazardous material transportation. Its personnel act as

customs agents enforcing immigration law, but they act as maritime enforcement agents only. The Coast Guard can carry Immigration and Naturalization Service agents on its cutters, but it has no authority to initiate or process requests for asylum.

# Defining characteristics

## Self-perception<sup>13</sup>

Regardless of rank or specialization, the service's personnel identify as Coast Guard people and public servants. They take pride in accomplishment; they think of their service as family. There is also pride in belonging to an organization that is multidimensional—one that adapts rapidly and effectively to varied and emergent needs. They take pride in belonging to crews that can perform a variety of missions and tasks. More specifically, Coast Guard personnel perceive themselves as:

- Public servants with a public trust. Coast Guard people see themselves as public servants. They identify with public service and protecting the public weal.
- Accomplishing work that benefits society. There is a generally held belief that they contribute directly to society. This belief has a very strong humanitarian component.
- Recipients of public affection and support. Coast Guard personnel feel strongly that the public supports what the service does, although law enforcement responsibilities could adversely affect the service's public image.

---

13. As part of our examination of service characteristics, we looked at what motivates people in the Coast Guard. During our field visits, team members explored motivation. We also asked headquarters (G-CX) to distribute a questionnaire to activities they selected. Respondents ranged from petty officers to senior captains; they replied directly to CNA. We asked two general questions: "What is (are) the most important thing(s) the Coast Guard does?" and "What does it mean to be a Coast Guard person?" We also compared the results with other surveys and examined available literature. Finally, we reviewed our findings with a panel of senior Coast Guard officers.

- Personally responsible with authority delegated to the lowest level. Few organizations afford their members as much responsibility and authority at junior levels.
- Part of a family, crew, or small unit. The Coast Guard has many of the positive characteristics of a family firm. This permits personnel and units to be nimble and flexible, changing quickly with little effort. The organization works by trust in people, and in their competence, loyalty, responsibility, and professionalism, which in turn inspires self-motivation to excel. This family, small-unit culture extends to the Coast Guard Reserve and Auxiliary, which participate in service activities on a day-to-day basis.
- Core values are known, accepted, believed and internalized. Coast Guard people are aware of the published core service values of honor, respect, and devotion to duty. Respondents identified them as a "way of thinking," "a daily attitude," "standard to measure one's conduct," and "grounded in professionalism." Coast Guard people cite them as internal, real, values which determine conduct both at work and off-duty.<sup>14</sup>
- Heirs to a proud tradition and history. Although Coast Guard personnel generally do not have a detailed knowledge of Coast Guard history, there is a widespread appreciation that the organization has had a long history even though that appreciation may consist of no more than simply recalling that the Lifesaving Service "had to go out" regardless of the weather or seas. This history is a source of pride.

## Research findings (a view from outside the Coast Guard)

The research team's conclusions were similar, if not precisely the same. The team concluded that these characteristics are self-reinforc-

---

14. We were surprised to discover that these values were first articulated in their present form only a few years ago. Core values were articulated in Commandant Note 16010 (Commandant USCG message 191502Z April 1994). Our observation suggests that these published core values represent deeply held beliefs by a significant number of Coast Guard personnel.

ing. Individual characteristics tend to strengthen each other. For example, the service's broad legal authority helps it elicit cooperation and coordination from other agencies and groups. Without any of these characteristics, the Coast Guard would, we believe, be an entirely different service: less effective in fulfilling its mandated responsibilities. These characteristics also differentiate the Coast Guard from the other armed services and other federal agencies. In brief, the Coast Guard:

- Is primarily a maritime service.<sup>15</sup> The link to the sea is the common thread which binds all Coast Guard tasks and people together. Its work is all about protecting mariners and property at sea, marine safety, law enforcement on the waters, and marine environmental protection. The service's defense responsibilities are primarily naval. Its continued authority over what happens at sea depends on its presence on the waters and the expertise of its crews.
- Has mostly civil responsibilities. The nature of Coast Guard civil responsibilities is best captured in correspondence of Captain Commandant Ellsworth Berthof written in 1919: "The Coast Guard exists for the particular and main purpose of performing duties which have no connection with a state of war, but which, on the contrary, are constantly necessary as peace functions."<sup>16</sup>
- Serves the public directly. Unlike the other armed services and most federal law and regulatory agencies, the Coast Guard is in constant and direct contact with the citizenry.
- Has a humanitarian orientation. Most of what the Coast Guard does for civil society is humanitarian. Safety and protection are the service's cornerstone watchwords. It views even regulatory

---

15. The distinction "primarily" is being used in order to recognize the Coast Guard's responsibilities on the nation's lakes and rivers, since the definition of "maritime" includes only the sea.

16. Letter from Berthof to Cisp, April 18, 1919. Cited in Robert E. Johnson, *Guardians of the Sea* (Annapolis: Naval Institute Press, 1987), p. 59.

and law enforcement duties from a perspective of ensuring safety and protecting the public weal.

- Is operational in nature. Unlike the other armed services, whose time is spent training for combat or the support of combat, the Coast Guard spends most of its effort conducting actual operations, mostly of a civil nature. Most of its basic responsibilities require direct actions in real time to a degree not seen in most other organizations.
- Is result-oriented and geared to quick response. The Coast Guard is poised for quick response to emergencies or changing circumstances. This derives in part from a tradition of saving lives, where every minute counts, and from its experience as an armed service and law enforcement agency. Rapid action is also essential for Coast Guard environmental response. At work, the focus of the Coast Guard is getting the job done. This focus reflects its ethos and organization. Coast Guard operations stress practical and local arrangements to gain cooperation of other groups and to accomplish the mission.
- Is multi-missioned. Diverse responsibilities, limited assets, and broad authority combine to justify an approach where Coast Guard assets and uniformed personnel are ready to carry out simultaneous responsibilities. The Coast Guard stresses economy of force. Not every Coast Guard responsibility requires full-time dedicated assets to discharge it, yet these responsibilities require widely dispersed and present assets at all times if they are to be executed when and where required. The combination of multi-mission trained personnel and multi-mission suitable equipment is a force multiplier, whose combined efficiencies and savings are self-evident, although hard to measure precisely.<sup>17</sup>

---

17. The efficiencies of a multi-missioned agency are an advantage when federal budgeting emphasizes programs which support multiple outcomes. As noted in section II, the efficiency derived from being multi-missioned has historically been a reason for assigning the Coast Guard new responsibilities.

- Has extremely broad legal authority. Title 14 USC 2 provides that "The Coast Guard shall enforce or assist in the enforcement of all federal laws on, under, and over the high seas and waters subject to the jurisdiction of the United States." Title 14 USC 141 provides wide authority to assist other agencies, the states, territories, and local authorities. Title 14 USC 89 provides unlimited authorization to make inquiry, inspect, search, seize and arrest. The Coast Guard also has wide latitude in regulatory authority. Taken together, it is doubtful that any other agency exercises as wide or as broad a range of authority. Despite this broad authority we found Coast Guard personnel very cautious in its application. The Coast Guard clearly prefers to inspire action through cooperation, when possible.
- Values initiative. Because this small agency is spread very thin, it permits maximum discretion in performance of missions at the lowest local level. The Coast Guard can, and does, commit assets quickly in ways larger organizations normally cannot. Decision making in most instances is made on the scene.
- Stresses cooperation and coordination. Cooperation and coordination with other agencies is essential to accomplish most responsibilities. Some of this cooperation and coordination is legislatively mandated, but most is the result of local initiative and habit. Having limited assets also militates toward cooperation with other agencies and the public. The extent of Coast Guard interaction with so many diverse organizations positions the service in a unique way to serve the maritime community. As political, economic, and technological changes modify the maritime environment, the Coast Guard becomes the best-positioned federal agency to work with many interested public and private constituencies in shaping the future of the maritime environment, or adapting to it.
- Performs operations that necessarily have both a domestic and an international aspect. Although most Coast Guard responsibilities are domestic, international cooperation and coordination is essential to accomplishing most of them, including those generally understood as domestic. This is because in many



cases, the service must interact with international agencies and foreign entities to do its domestic jobs.

- Has a unique civil-military character. Although an armed service, it is located in the Department of Transportation, not the Department of Defense. Most Coast Guard responsibilities are civil in nature. Military responsibilities have little impact on the Coast Guard's overall day-to-day operations. Nonetheless, military organization provides a discipline and spirit which contributes greatly to effective accomplishment of all responsibilities.

# Service personality and identity

## Background

As part of the examination of Coast Guard characteristics, purpose, and worth, we attempted to determine whether any single theme could be identified that answered the question: What holds the service together except for efficiencies? We looked for a theme which would capture the soul, spirit, and ethos of the organization. A simple identifiable theme would have a powerful impact on fixing and perpetuating service values, and making these understandable to persons inside and outside the Coast Guard.

## Approach

In attempting to identify what holds the Coast Guard together we used an analytical concept developed by Carl Builder in his work *The Masks of War*.<sup>18</sup> Builder developed an approach involving institutional personalities as an aid to understanding service approaches to analysis, strategy, and planning. He looked at the Navy, Air Force, and Army, and tried to determine their service identities. He believed that institutions, although composed of ever-changing individuals, have their own distinct and enduring personalities that govern their behavior.

## Service personality

Builder postulated five frameworks (or "faces") to use in comparing service personality: service altars of worship; a preoccupation with

---

18. RAND Corporation Research Study (Baltimore: Johns Hopkins University Press, 1989).

toys versus military art; belief in institutional legitimacy and relevancy; yardsticks for measuring the institution's standard of health; and intra-service distinctions among service personnel. Builder's findings, along with our analyses of Coast Guard "personality," are shown in figure 1.

Figure 1. Frameworks of service personalities

<b>Altars of Worship:</b> <ul style="list-style-type: none"> <li>• Navy: Altar of Tradition</li> <li>• Air Force: Altar of Technology</li> <li>• Army: 1. Roots in citizenry; 2. History of service to nation; 3. Utter devotion to country</li> </ul>	<b>Preoccupation with Toys vs. Art:</b> <ul style="list-style-type: none"> <li>• Air Force: Most attached to "toys"</li> <li>• Navy: Far less "toy" oriented</li> <li>• Army: Greater pride in skills of soldiering than toys. (Moving toward attachment to machines?)</li> </ul>	<b>Legitimacy and Relevancy:</b> <ul style="list-style-type: none"> <li>• Air Force: Worries about legitimacy, convinced of relevancy</li> <li>• Navy: Convinced of legitimacy, concerns about relevancy</li> <li>• Army: Most secure of services on both counts</li> </ul>
<ul style="list-style-type: none"> <li>• Coast Guard: <ul style="list-style-type: none"> <li>• Humanitarianism</li> <li>• Multi-mission capability</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Coast Guard: <ul style="list-style-type: none"> <li>• Attached to skills</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Coast Guard: <ul style="list-style-type: none"> <li>• Convinced of relevancy, worried about institutional legitimacy.</li> </ul> </li> </ul>
<b>Measurement of Institutional Standard of Health:</b> <ul style="list-style-type: none"> <li>• Navy: Size</li> <li>• Air Force: Quality of its aircraft (technology edge)</li> <li>• Army: Number of people</li> </ul>	<b>Intra-Service Distinctions:</b> <ul style="list-style-type: none"> <li>• Navy: Most elaborate distinction among people (fighter pilots vs. VP, SSN vs. SSBN, Combatants vs. Amphibs, etc.)</li> <li>• Air Force: two: Pilots and all others</li> <li>• Army: Combat arms and all others (but distinction of low salience)</li> </ul>	
<ul style="list-style-type: none"> <li>• Coast Guard: <ul style="list-style-type: none"> <li>• Accomplishment of mission</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Coast Guard: <ul style="list-style-type: none"> <li>• Few differences among people, but still stovepipes</li> </ul> </li> </ul>	

This analysis indicates how different the Coast Guard is from the other armed services. It is not a "small Navy." The Coast Guard's "altar"—what the service cherishes as the ideal—is its humanitarianism and multi-mission capability. This is very different from "tradition" of the Navy and its concept of independent command at sea. The Coast Guard is not preoccupied with "toys" but rather passionately attached to skills. Unlike the Navy, which is convinced of its legitimacy but concerned about relevancy, the Coast Guard is convinced of its relevancy but concerned about institutional legitimacy. We observed that, unlike any other service, the Coast Guard measured its institutional health by the accomplishment of its mission. The Coast Guard also appears to be less absorbed with intra-service distinctions than other armed services.

## Service identity

Builder developed service identities to capture salient service characteristics that bear on approaches to strategy and analysis. Our approach is to use service identity to capture service approaches to their activity. If a valid analysis of service identity can be made, it can be used to guide efforts toward future direction. Builder's findings, along with our analyses of Coast Guard "identity," are shown in figure 2.

Figure 2. Service identities

<b>Navy:</b> <ul style="list-style-type: none"> <li>• An institution</li> <li>• Marked by two strong senses of self: 1. its independence, and 2. stature</li> </ul>	<b>Air Force:</b> <ul style="list-style-type: none"> <li>• Bond is not institution, but love of flying machines and flight</li> <li>• Keeper and wielder of the decisive instruments of war—ensuring independence of those who fly and launch these tech marvels</li> </ul>	<b>Army:</b> <ul style="list-style-type: none"> <li>• Essential artisans of war</li> <li>• First and foremost nation's obedient and loyal military servant—keeping itself prepared to forge American citizenry into an expeditionary force to defeat country's enemies</li> </ul>
<b>Coast Guard:</b> <ul style="list-style-type: none"> <li>• Identifies with service to humanity</li> </ul>		

What is the Coast Guard's identity? Is it an institution, like the Navy? It clearly is not the essential artisan of war, like the Army. Or is the service's identity something outside the organization like the Air Force's love of flight? We believe that the Coast Guard's identity is bound to its heritage of service to the public. The *raison d'être* for the Lifesaving Service was service to mariners. The Steamboat Inspection Service and subsequent services also protected mariners and others. The Lighthouse Service had a similar *raison d'être*. The Revenue Cutter Service may have begun as a customs collection service, but even then Secretary Hamilton cautioned his captains that in addition to "activity; vigilance and firmness...deportment must be marked by prudence, moderation and good temper." These words were related to

public service, not to tax collecting. The Cutter Service quickly gained additional public service responsibilities. This heritage continues today. Even regulatory and law enforcement responsibilities are viewed within the service from a perspective of ensuring safety and protecting the public weal.

## How to communicate identity

Self-image needs to be communicable both outside and inside the service. Deal and Kennedy in their work *Corporate Cultures* make the point that successful corporations create an identity that reflects corporate character, and that the most successful communicate this identity both internally and externally. Deal and Kennedy identified a number of these corporate identities. Samples are:

- “24-hour part service anywhere in the world.” Caterpillar—symbolizing extraordinary commitment to customer needs.
- “Make great ads.” Low Burnett Advertising Agency—commitment to a particular kind of excellence.
- “Strive for technical perfection (in accounting).” Price Waterhouse.
- “Quality at a good price.” Sears, Roebuck—mass marketing to the middle class.
- “We will find a way (to meet customer needs).” Continental Bank.

These statements might be considered only advertising claims. In fact, they also captured something that (at least at the time they were used) the corporation believed in. They verbalized values that helped hold the organization together. As such they also were particularly effective in both internal and external relations.

To be effective, such statements must be true. If they are in any way misleading, their purpose will be undermined and they will create a worse image. They need to be output oriented. That is, they need to describe what the organization does for society. They must be immediately understandable, and what they represent needs to be valued

by Americans. The public should answer “yes” when exposed to the expression.

Over the years a number of statements of identity have been used, or proposed for use, by the Coast Guard. These statements include:

- “You have to go out, but you don't have to come back.”
- “The Lifesavers.”
- “Smokies of the Sea.”
- “The Law on the Sea.”
- “Protecting people from the sea and the sea from people.”
- “Guardians (Sentinels) of the Sea.”
- “Semper Paratus—Always Ready.”
- “An Armed Service, and more.”
- “World's premier maritime service.”

All these Coast Guard statements of identity contain some truth; most are output oriented. They portray diverse areas of service expertise or responsibility. Some (e.g., “Semper Paratus”) have become so much a part of the Coast Guard's heritage that they now help define its core character. None, however, appear to encapsulate the Coast Guard's core identity: service to the public.<sup>19</sup>

In this sense, the current statement of identity—“World's premier maritime service”—does not tell what the Coast Guard's core identity is. It identifies with “service” more as a noun, than as a verb. It also can be confused with navies which do not have service as a character, or, like the French Navy, include Coast Guard functions as ancillary. If our analysis of identity is correct, the coast guard would be well served if it based statements of identity on the concept of service or related

---

19. The emphasis on law enforcement (“Smokies” or “Law on the Sea”) was dropped from recruiting themes during the 1980s because it ran contrary to the service's humanitarian ethos and created a poor public image.

concepts such as stewardship. Such statements would better align with Coast Guard core identity and better resonate both internally and externally.

The Coast Guard remains, by any measure, "*Much more than just an armed service.*" This is a more accurate descriptor than "An armed service, and much more." Either way, as this report shows, the diversity and complexity of what that "much more" consists of may defy reduction to a simple slogan.

## Enduring worth to the nation

What does the Coast Guard provide that the Republic needs and values and which is not provided by any other agency of the government? To extract elements of the Coast Guard's enduring worth, we examined the service's purpose, its history, its accumulation of civil and military responsibilities (both domestic and international), how it performs these responsibilities, and its characteristics and motivation.

We also looked at other calculations of value. One typical calculation is the enumeration of operations conducted on "an average Coast Guard day." Such calculations generally enumerate the number of search and rescue cases, lives saved, value of property saved, boardings, contraband seized, vessels inspected, or the number of hazardous spills responses. "Average day" calculations are commonly used for public relations purposes.<sup>20</sup>

The 1993 Government Performance and Results Act (GPRA) mandates a calculation of worth. As currently interpreted, the Coast Guard applies five strategic goals in the areas of safety, protection of natural resources, mobility, maritime security, and national defense to the seven Coast Guard budget program elements. The GPRA approach then identifies specific performance goals and strategies for their accomplishment.

Both calculations of worth have significant benefits. Neither explicitly identifies *enduring* worth. The "average day" calculation, while easy to understand and illustrative of actual accomplishment, answers only the question of what has been done in the past. The GPRA calculation is useful in identifying accountability in the budget process, but does not identify or measure actual enduring worth to the nation.

---

20. A sample of calculations of an "Average Coast Guard Day" can be found in the January 1995 issue of *Commandant's Bulletin*.



We believe that the Coast Guard's enduring value *derives* from its focus on civil society, its extremely broad authority in maritime matters, the service's varied skill set, its result-oriented ingrained character, and its predisposition to find and engage disparate partners for most missions.

We believe that the service *is appreciated* by the American people, who count on the Coast Guard to keep them safe on the water, to keep the water safe from harm, and to maintain the safety and efficiency of commerce on which their well-being depends. We believe that:

**The Coast Guard's enduring worth to the nation is as a coordinator and provider of maritime services. It provides essential services, where and when required, and it bonds, focuses, and coordinates disparate actors, ensuring that the job gets done.**

This quality is unique among federal agencies and is not duplicated in government or private institutions. No other agency has the breadth of responsibility; existing authority; varied skill set (including multi-missioned personnel and assets); international and domestic web of contacts, partnerships, and working relationships; or predilection for cooperation and coordination; or is as result-oriented on a day-to-day basis.

In examining Coast Guard history and operations, we uncovered another area where the service makes a unique contribution not duplicated by any other agency:

**The Coast Guard is a unique national policy instrument, available when required by the Executive.**

The Coast Guard's humanitarian image and its identity as an armed service combine in a unique way to make it an ideal vehicle to support national policy in certain circumstances. Its humanitarian image makes it less threatening to other nations' sovereignty. Its identity as an armed service makes it an unmistakable expression of U.S. national sovereignty and will.

Examples of the Executive's use of the Coast Guard as a unique instrument of national policy include the following:

- Coast Guard operations took place in Greenland from the summer of 1940 to the summer of 1941. Following the fall of Denmark during World War II, President Roosevelt ordered the Coast Guard to operate in Greenland. The service was selected over the other armed services because its status as an armed service provided an unmistakable indication of U.S. sovereignty, while its humanitarian image protected U.S. neutrality.
- Cutters were maintained for presence in European waters after withdrawal of Navy units during the period 1940–41.
- The cutter *Courier* was commissioned as a Voice of America transmission station and was stationed at Rhodes from 1952–64. Use of a Navy vessel for this mission was deemed unsound and escalatory.
- Cutters were stationed just outside Cuban territorial waters as a buffer during the 1980 Mariel boatlift to reduce the possibility of confrontation.
- In 1983 cutters provided “presence” off Grenada following the expiration of the 90-day War Powers Act window for Defense Department operations.
- A cutter was assigned to a Navy task force seeking to locate the wreckage of KAL flight 007 shot down by Soviet aircraft off Sakhalin Island in 1983. Coast Guard presence closest to the Soviet coast was designed to lessen tensions.
- Cutters were assigned to escort Cuban exile memorial services conducted just outside Cuban territorial waters during 1996.

The examples cited are evidence that the Coast Guard was called upon as an instrument of national policy because it combined the clearly civil white hull with the obviously military crews and guns. In

each instance the Coast Guard provided the Executive unique flexibility in pursuing national objectives.<sup>21</sup>

## Implications for the future direction of the Coast Guard

The Coast Guard's enduring worth to the nation must be understood both internally and externally. Together with an effective statement of purpose, an understanding of enduring worth will help maintain public support and organizational motivation and effectiveness. An understanding of Coast Guard characteristics—especially its disposition toward coordination and cooperation, its result-oriented and operational nature, and its multi-mission ethos—will also contribute to public support and ensure that the Coast Guard evolves in ways consistent with its culture.

Builder noted that a collective shared sense of identity and interest is a "hallmark of the most successful institutions." A clear, shared sense of identity and purpose lead to high performance.<sup>22</sup> Terrance Deal and Allan Kennedy, in an analysis of corporate culture and change, caution against trying to change corporate culture. Changes to organizational culture should not be attempted except in cases where (1) the environment fundamentally changes; (2) the organization is mediocre or worse to begin with; or (3) the organization is growing very rapidly.<sup>23</sup> None of these conditions apply to the Coast Guard.

---

21. There are other examples in which the service's unique characteristics have benefitted the Executive: Colombia did not object to cutter presence in 1989, when it objected vigorously to a proposed carrier task group conducting a counter-narcotics operation. Although Haiti would likely have objected to the repatriation of migrants by USN combatants, it did not object to cutters performing the same mission. We doubt that Cuban officials would have agreed to establish the types of contacts they have with Coast Guard counterparts with any other U.S. organizations, especially other armed services.

22. Builder, *Masks of War*, p. 36.

23. Terrance A. Deal and Allan A. Kennedy, *Corporate Cultures* (Reading, MA: Addison-Wesley Publishing Company, 1982), pp. 157-161. Deal and Kennedy also note that change in organizational culture is very difficult.

As discussed in this research memorandum, the Coast Guard is a unique organization with a strong sense of identity. It is different from the other armed services and from other federal agencies. Therefore, the future direction of the Coast Guard should be consistent with its essential character, identity, and worth to the nation. Growth, or alternatively, diminution that is inconsistent with those things will result in organizational turmoil at a minimum. It could lead to an entirely different type of organization which, in our judgment, would be less effective and of less value to the nation.

## Appendix A: Suggested further reading<sup>24</sup>

——. "The Best of the Bulletin." United States Coast Guard Academy Alumni Association, September 1996 (Collection of *Alumni Association Bulletin* articles on Coast Guard history, events, reminiscences, etc.)

——. "Commandant's Direction." Washington, DC: U.S. Coast Guard (C-C), 1995

——. "The Coast Guard Auxiliary, Volunteer Arm of America's Premier Maritime Service." U.S. Coast Guard Historian's Office, 1997.

——. United States Naval Institute *Proceedings*. December issue. (The annual December issue of *Proceedings* is devoted to the Coast Guard and publishes winning essay contest entries.)

Bouziane, Michèle. "The U.S. Coast Guard, National Security, and Fisheries Enforcement." *Naval War College Review*. Winter 1997.

Browning, Robert M., Jr. "Captains of the Port." U.S. Coast Guard Historian's Office, 1993.

Browning, Robert M., Jr. "The Coast Guard and the Pacific War." U.S. Coast Guard Historian's Office, 1995.

---

24. Coast Guard-published material may be obtained by writing the Coast Guard Historian's Office at Commandant (G-CP-4), 2100 2nd Street, S.W., Washington, DC 20593-0001. Much of the Coast Guard material was originally published as inserts to *Coast Guard Magazine* (formerly *Commandant's Bulletin*), itself an excellent source of further reading. The Historian's Office also publishes a more detailed *United States Coast Guard Annotated Bibliography*, which is in the process of being updated with an anticipated re-publication in the fall of 1997.

Browning, Robert M., Jr. "The Eyes and Ears of the Convoy: Development of the Helicopter as an Anti-Submarine Weapon." U.S. Coast Guard Historian's Office, 1993.

Canney, Donald L. "The Coast Guard's Other' Missions." *Naval History*. Vol. 4, No. 1, Winter 1990.

Carpon, Walter C. *The U.S. Coast Guard*. New York: Franklin Watts, Inc., 1965.

Capelotti, Pete. "Oceanography in the Coast Guard." U.S. Coast Guard Historian's Office, 1996.

Duncan, Julie Marie. "What is Really Important." United States Naval Institute *Proceedings*. Vol. 123/2/1,127, February 1997 (Enlisted Prize essay).

Evans, Stephen H. *The United States Coast Guard, 1790-1915*. Annapolis, MD: United States Naval Institute, 1949.

Flint, Willard. "A History of U.S. Lightships." U.S. Coast Guard Historian's Office, 1993.

Gaffney, Henry, Jr. "Relations with Russian Counterparts: Coast Guards and Navies." Alexandria, VA: Center for Naval Analyses, CIM 491, December 1996.

Gross, Thomas W. "For Those in Peril." United States Naval Institute *Proceedings*. Vol. 120/12/1,102, December 1994 (Coast Guard Essay Contest Winner).

Gurney, Gene. *The United States Coast Guard: A Pictorial History*. New York: Crown Publishers, Inc., 1973.

Johnson, Robert Erwin. *Guardians of the Sea, History of the United States Coast Guard, 1915 to the Present*. Annapolis, MD: Naval Institute Press, 1987.

Johnson, Robert Erwin. "Coast Guard-Manned Naval Vessels in World War II." U.S. Coast Guard Historian's Office, 1993.

Johnson, Robert Erwin. "The Fifth Armed Force." *Naval History*. Vol. 4, No. 2, Spring 1990.

Kern, Florence. "Traditions, 200 Years of History." U.S. Coast Guard Historian's Office, 1990.

King, Irving H. *George Washington's Coast Guard: Origins of the U.S. Revenue Cutter Service, 1789-1801*. Annapolis, MD: Naval Institute Press, 1978.

King, Irving H. *The Coast Guard Under Sail: The U.S. Revenue Cutter Service, 1789-1865*. Annapolis, MD: Naval Institute Press, 1989.

King, Irving H. *The Coast Guard Expands: 1865-1915, New Roles, New Frontiers*. Annapolis, MD: Naval Institute Press, 1996.

Larzelere, Alex. *The 1980 Cuban Boatlift*. Washington, DC: National Defense University Press, 1988.

Marshall, Amy K. "A History of Buoys and Tenders." U.S. Coast Guard Historian's Office, 1995.

Noble, Dennis L. *That Others Might Live: The U.S. Life Saving Service 1878-1915*. Annapolis, MD: Naval Institute Press, 1994.

Noble, Dennis L. "Gulf Coast and Western Rivers, a Brief History of Coast Guard Operations." U.S. Coast Guard Historian's Office, 1989.

Noble, Dennis L. "Southwest Pacific, a Brief History of Coast Guard Operations." U.S. Coast Guard Historian's Office, 1989.

Noble, Dennis L. and Barbara Voulgaris. "Alaska and Hawaii, a Brief History of Coast Guard Operations." U.S. Coast Guard Historian's Office, 1991.

Noble, Dennis L. and Truman R. Strobridge. "You Have to Go Out." *Naval History*. Vol. 3, No. 4, Fall 1989.

Price, Scott T. "The Coast Guard and the North Atlantic Campaign." U.S. Coast Guard Historian's Office, 1994.

Scheina, Robert. "Coast Guard History." U.S. Coast Guard Historian's Office, 1985.

Scheina, Robert. "Coast Guard at War." U.S. Coast Guard Historian's Office, 1987.

Schreiner, Samuel, Jr. *Mayday! Mayday! The Most Exciting Missions of Rescue, Interdiction and Combat in the 200-Year Annals of the Coast Guard*. New York: Donald I. Fine, 1990.

Shanks, Ralph, Wick York, and Lisa Woo Shanks. *The U.S. Lifesaving Service, Heroes, Rescues, and Architecture*. Peteluma, CA: Costaño Books, 1996.

Stubbs, Bruce B. *The U.S. Coast Guard's National Security Role in the Twenty-First Century*. Newport, RI: U.S. Naval War College, Center for Naval Warfare Studies, 1992.

Thomson, Robin J. "The Coast Guard & the Women's Reserve in World War II." U.S. Coast Guard Historian's Office, 1992.

Tilley, John A. "The Coast Guard & the Greenland Patrol." U.S. Coast Guard Historian's Office, 1992.

Tilley, John A. "A History of Women in the Coast Guard." U.S. Coast Guard Historian's Office, 1996.

Tulich, Eugene N. "The United States Coast Guard in South East Asia During the Vietnam Conflict." U.S. Coast Guard Historian's Office, 1986.

Walters, John M. "Marshals of the Seas." *Naval History*. Vol. 4, No. 3, Summer 1990.

Willoughby, Malcolm F. *The U.S. Coast Guard in World War II*. Annapolis, MD: Naval Institute Press, 1957.

Willoughby, Malcolm F. *Rum War at Sea*. Washington, DC: Treasury Department, U.S. Coast Guard, 1964.



## Appendix B: Definitions and terminology<sup>25</sup>

**Active presence:** The act of being present, with sufficient capabilities to carry out assigned responsibilities, in ports and waterways, along the nation's coasts, on international waters, or in any maritime region as necessary to maintain U.S. sovereignty, enforce and deter violations of U.S. law, and represent U.S. authority and interests.<sup>26</sup>

**Forward presence:** Maintaining forward deployed or stationed forces overseas to demonstrate national resolve, strengthen alliances, dissuade potential adversaries, and enhance the ability to respond quickly to contingency operations. (NDP-1)

**Characteristics of the Coast Guard:** Attributes of the Coast Guard and its personnel which in the aggregate (1) define what the service is and articulate its ethos; and (2) differentiate the Coast Guard from other armed services and federal agencies.<sup>27</sup>

**Characterization (evaluation):** A biographical sketch of an individual or a statement of the nature and intent of an organization or group. (Joint Pub 1-02)

- 
25. Selection of terms identified and defined reflects their use in this publication and/or study team judgment that a common definition of the term would lead to a better understanding of Coast Guard operations. Where a definition is the same as those contained in *The Department of Defense Dictionary of Military and Associated Terms* (Joint Publication 1-02) or *Naval Doctrine Publication 1: Naval Warfare* (NDP 1), it is so identified. For comparison, relevant Joint Publication 1-02 or NDP 1 definitions are sometimes shown in indented text, along with our own, more Coast Guard-specific definition.
26. Active presence is a requirement for the effective expression of sovereignty.
27. Coast Guard characteristics are self-reinforcing. If any characteristic were to be lost, the service would cease to be what it is now and would become less effective.

**Coalition force:** A force composed of military elements of nations that cooperate for a temporary purpose.

**Coalition force:** A force composed of military elements of nations that have formed a temporary alliance for some specific purpose. (Joint Pub 1-02 definition)

**Combined:** Between two or more forces or agencies of two or more allies.<sup>28</sup> (When all allies or services are not involved, the participating nations or services shall be identified, e.g., Combined Coast Guard.) (Joint Pub 1-02 definition)

**Domestic operations:** Coast Guard activities including active presence in U.S. ports and waterways, the territorial sea, and exclusive economic zone; supporting U.S. authority and sovereignty; enforcing law; supporting commerce; and protecting the public.

**Operation:** A military action or the carrying out of a strategic, tactical, service, training, or military mission; the process of carrying on combat, including movement, supply, defense and maneuver needed to gain the objectives of any battle or campaign. (Joint Pub 1-02)

**Enduring worth:** Connotes essential Coast Guard contributions, which are unique and which no other agency provides.

**Exclusive agency:** That organization which is the only agency involved. (For example, the Coast Guard is the exclusive agency for offshore structure safety compliance and superintendence of the merchant marine.)

**Executive agency:** Agency designated to manage or coordinate a particular task.

**International operations:** Coast Guard activity on the high seas and in cooperation with other governments, with international organizations, and in support of agreements to which the United States is a

---

28. The term "combined" would also apply to instances of cooperation where the parties were not formally allied.

party. Most international operations support domestic operations and responsibilities.

**Joint:** Connotes activities, operations, organizations, etc., in which elements of more than one service of the same nation participate. (When all services are not involved, the participating services shall be identified, e.g., Joint Coast Guard-Air Force). (Joint Pub 1-02 definition)

**Lead agency:** An organization that has primary responsibility for accomplishment but must coordinate with others or depend on their cooperation for accomplishment.

**Littoral:** 1. The coastal region. 2. The seaward area from the open ocean to the shore which must be controlled to support operations ashore.

Those regions relating to or existing on a shore or coastal region, within direct control of and vulnerable to the striking power of naval expeditionary forces. (NDP-1)

**Mission:** 1. The task, together with the purpose that clearly indicates the action to be taken and the reason therefor. 2. In common usage, especially when applied to lower military units, a duty assigned to an individual or unit; a task. 3. The dispatching of one or more aircraft to accomplish one particular task. (Joint Pub 1-02 definition)

**Multi-mission:** 1. The capability of Coast Guard physical assets to perform more than one mission either simultaneously or in succession. 2. The training and disposition of Coast Guard personnel to accomplish many missions either simultaneously or in succession.

**Multinational:** An alliance, coalition, or other international arrangement. (NDP-1 definition)

**Multi-service:** Two or more services in coordination. (NDP-1 definition)

**Operational level:** The level of activity at which major operations are planned, conducted, and sustained to accomplish strategic objectives. Activity at this level link tactics and strategy by establishing opera-

tional objectives, sequencing events, initiating actions, and applying resources to bring about and sustain these events. (For example: area counter-narcotics operations.)

**Operational level of war:** The level of war at which campaigns and major operations are planned, conducted, and sustained to accomplish strategic objectives within theaters or areas of operations. Activities at this level link tactics and strategy by establishing operational objectives needed to accomplish strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events. These activities imply a broader dimension of time and space than do tactics; they ensure the logistics and administrative support of tactical forces, and provide the means by which tactical successes are exploited to achieve strategic objectives. (Joint Pub 1-02)

**Partners of the Coast Guard:** Other federal, state, and local agencies and officials; foreign governments, international organizations, agencies and authorities; and private organizations and individuals that form a web of cooperative arrangements.

**Purpose of the Coast Guard:** The service's reason for existence based in law and regulation, organizational character, history, and tradition. Explains what the Coast Guard is expected to accomplish and where, and delineates essential conditions necessary to carry out responsibilities.

**Responsibilities of the Coast Guard:** Duties established in law and regulation. These are maintaining U.S. sovereignty and enforcing U.S. law; representing U.S. interests and authority; assuring the safety of life and property; protecting the environment; and defending the Republic.

**Responsibility:** 1. The obligation to carry forward an assigned task to a successful conclusion. With responsibility goes authority to direct and take necessary action to ensure success. 2. The obligation for the proper custody, care, and safekeeping of property or funds entrusted to the possession or supervision of an individual. (Joint Pub 1-02)

**Role:** Broad and enduring responsibilities. As used in this publication, it is synonymous with responsibilities (See Responsibilities of the Coast Guard).

Broad and enduring purposes for which the Services were established in law (NDP-1)

**Specialized service:** 1. The status of the Coast Guard when operating as a service in the Navy as provided by law. When operating as a service in the Navy, the Coast Guard is subject to the orders of the Secretary of the Navy but its organizational integrity is protected. 2. Those capabilities, organizational and individual, which the Coast Guard provides when operating as a service in the Navy.

**Strategic level:** The level of activity which establishes national (or multinational) objectives and guidance, and develops and uses Coast Guard wide resources to accomplish these objectives (e.g., a Coast Guard-wide counter-narcotics strategy).

**Strategic level of war:** The level of war at which a nation, often as a member of a group of nations, determines national or multinational (alliance or coalition) security objectives and guidance, and develops and uses national resources to accomplish these objectives. Activities at this level establish national or multinational military objectives; sequence initiatives; define limits and assess risks for the use of military power and other instruments of national power; develop global plans or theater of war plans to achieve these objectives; and provide military forces and other capabilities in accordance with strategic plans. (Joint Pub 1-02)

**Strategy:** The art and science of developing and using political, economic, psychological, and military forces as necessary during peace and war, in order to increase the probabilities and favorable consequences of victory and to lessen the chances of defeat. (Joint Pub 1-02)

**Supporting partners:** Agencies, organizations, or individuals (1) with whom the Coast Guard shares responsibility; and (2) who undertake tasks where the Coast Guard provides oversight or management services.

**Tactical level:** The level of activity at which assets are used to achieve specific objectives (e.g., unit counter-narcotics or fisheries patrol).

**Tactical level of war:** The level of war at which battles and engagements are planned and executed to accomplish military objectives assigned to tactical units or task forces. Activities at this level focus on the ordered arrangement and maneuver of combat elements in relation to each other and to the enemy to achieve combat objectives. (Joint Pub 1-01)

**Values of the Coast Guard:** Commonly held moral understandings which determine individual behavior and unit performance. Coast Guard values include honor, respect, and devotion to duty.

# Distribution list

Research Memorandum 97-17

## SNDL

21A1 CINCLANTFLT NORFOLK VA  
Attn: N3CG  
21A2 CINCPACFLT PEARL HARBOR HI  
Attn: CG LIAISON OFFICER  
21A3 CINCUSNAVEUR LONDON UK  
23A2 COMNAVFORKOREA SEOUL KOR  
Attn: CG LIAISON OFFICER  
23B4 COMUSNAVCENT  
Attn: CG LIAISON OFFICER  
B2A JCS  
Attn: J-33B  
B5 CG ACADEMY  
B5 COMLANAREA COGARD  
B5 COMPACAREA COGARD  
B5 USCG WASHINGTON DC  
Attn: G-C  
Attn: G-CJ  
Attn: G-CX  
Attn: G-CQ  
Attn: G-CI  
Attn: G-CCS  
Attn: G-CFP  
Attn: G-CFM  
Attn: G-CFS  
Attn: G-CPM  
Attn: G-CRC  
Attn: G-CPA  
Attn: G-CBU  
Attn: G-CPP  
Attn: G-A  
Attn: G-H  
Attn: G-S  
Attn: G-SI  
Attn: G-L  
Attn: G-M  
Attn: G-MS  
Attn: G-O  
Attn: G-OP  
Attn: G-W  
Attn: G-WP  
Attn: G-WT  
Attn: G-WK  
Attn: G-WPD  
Attn: G-LD

FF38 USNA ANNAPOLIS  
Attn: LIBRARY  
FF44 NAVWARCOL NEWPORT RI  
Attn: CG ADVISOR  
FP1 COMNAVDOCCOM  
Attn: N331D

OPNAV  
N3/N5B  
N511G

## OTHER

IDA  
NATIONAL SECURITY COUNCIL  
Attn: CG LIAISON OFFICER  
PENTAGON LIBRARY  
RAND WASHINGTON  
STATE DEPT MISC  
Attn: CG LIAISON OFFICER